



20 SEP 2002

UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

J. Ernest Kenney  
Bacon & Thomas, PLLC  
625 Slaters Lane - Fourth Floor  
Alexandria, VA 22314

In re Application of	:	
KOLBECK	:	DECISION ON PETITION
Serial No.: 09/926,517	:	
PCT No.: PCT/EP00/04781	:	UNDER 37 CFR 1.47(b)
Int. Filing Date: 25 May 2000	:	
Priority Date: 27 May 1999	:	
Atty Docket No.: KOL P3001/JEK	:	
For: METHOD AND DEVICE FOR SAVING	:	
AND RETRIEVING PIN CODES	:	

This decision is in response to the applicant's "Petition Under 37 C.F.R. § 1.47(b) and 1.497(b)" filed 12 July 2002 to accept the application without the signature of inventor Alexander KOLBECK.

### **BACKGROUND**

On 25 May 2000, applicant filed international application PCT/EP00/04781, which claimed priority of an earlier application filed 27 May 1999. A copy of the international application was communicated to the United States Patent and Trademark Office from the International Bureau on 07 December 2000. A Demand for international preliminary examination, in which the United States was elected was filed prior to the expiration of nineteen months from the priority date. Accordingly, the thirty-month period for paying the basic national fee in the United States expired at midnight on 27 November 2001.

On 14 November 2001, applicant filed a transmittal letter for entry into the national stage in the United States, which was accompanied by the requisite basic national fee as required by 35 U.S.C. 371(c)(1); a translation of the International Application into English; a First Preliminary Amendment and two sheets of formal drawings. An executed oath or declaration of the inventor as required by 35 U.S.C. 371 (c)(4) was not filed.

On 12 December 2001, applicant was mailed a NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 (Form PCT/DO/EO/905) informing applicant of the need to provide an executed oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date. In addition, applicant was notified of the need to provide a surcharge of \$130.00 for filing the oath or declaration later than the appropriate 20 or 30 months from the earliest priority date. (37 CFR 1.492(e)). Applicant was given two months to respond and advised

that this time period could be extended with a proper petition and payment of fees.

On 12 July 2002, applicant responded with the present petition accompanied by a petition for a five-month extension of time and a check in the amount of \$2,220.00 (\$1,960.00 as payment of the five month extension fee, \$130.00 as payment of the surcharge for providing an executed oath or declaration of the inventor later than thirty months from the earliest claimed priority date and \$130.00 as payment of the fee for the present petition).

### **DISCUSSION**

A petition under 37 CFR 1.47(b) must be accompanied by: (1) the requisite petition fee under 37 CFR 1.17(I); (2) factual proof that the inventor refuses to execute the application or cannot be reached after diligent effort; (3) a statement of the last known address of the non-signing inventor; (4) an oath or declaration executed by the 37 CFR 1.47(b) applicant on behalf of and as an agent for the non-signing inventor; (5) proof of proprietary interest in the application; and, (6) a showing that such action is necessary to preserve the rights of the parties or to prevent irreparable damages. Applicant has satisfied items (1), (3), and (6).

As to item (2), as stated in the Manual of Patent Examination Procedure (MPEP), Section 409.03(d) Proof of Unavailability or Refusal, "Before a refusal can be alleged, it must be demonstrated that a *bona fide* attempt was made to present a copy of the application papers (specification, including claims, drawings, and oath or declaration) to the non-signing inventor for signature." Applicant has not provided evidence from an individual with first-hand knowledge that inventor Kolbeck has been presented with a complete set of application papers and subsequently refused to execute the oath or declaration.

Regarding item (4), the enclosed declaration and explanation of applicant is insufficient. The declaration is not in compliance with 37 CFR 1.497 (a) and (b). While counsel has provided the names and titles of the individuals executing the declaration, the signature box of the declaration for the purported assignee, Giesecke & Devrient, GmbH, does not identify the names and positions of said individuals executing the declaration on behalf of the corporate entity.

As to item (5), applicant has failed to show proof of proprietary interest in the application. Section 409.03(f) details the procedures for providing proof of proprietary interest when proceeding under 37 CFR 1.47(b):

When an application is deposited pursuant to 37 CFR 1.47(b), the 37 CFR 1.47(b) applicant must prove that

- (A) the invention has been assigned to the applicant, or
- (B) the inventor has agreed in writing to assign the invention to the applicant, or
- (C) the applicant otherwise has sufficient proprietary interest in the subject matter to justify the filing of the application.

If the application has been assigned, a copy of the assignment (in the English language) must be submitted. The assignment must clearly indicate that the invention described in the 37 CFR 1.47(b) application was assigned to the 37 CFR 1.47(b) applicant. A statement under 37 CFR 3.73(b) by the assignee must also be submitted (see MPEP § 324). An assignment of an application and any “reissue, division, or continuation of said application” does not itself establish an assignment of a continuation-in-part application. In *re Gray*, 115 USPQ 80 (Comm’r Pat. 1956). An assignment to a 37 CFR 1.47(b) applicant for the sole purpose of obtaining a filing date for a 37 CFR 1.47(b) application is not considered an assignment within the meaning of 35 U.S.C. 118 and 37 CFR 1.47(b).

When an inventor has agreed in writing to assign an invention described in an application deposited pursuant to 37 CFR 1.47(b), a copy of that agreement should be submitted. If an agreement to assign is dependent on certain specified conditions being met, it must be established by a statement of facts by someone with first hand knowledge of the circumstances in which those conditions have been met. A typical agreement to assign is an employment agreement where an employee (nonsigning inventor) agrees to assign to his or her employer (37 CFR 1.47(b) applicant) all inventions made during employment.

When such an agreement is relied on, it must be established by a statement of a person having firsthand knowledge of the facts that the invention was made by the employee while employed by the 37 CFR 1.47(b) applicant.

If the invention has not been assigned, or if there is no written agreement to assign, the 37 CFR 1.47(b) applicant must demonstrate that he or she otherwise has a sufficient proprietary interest in the matter.

A proprietary interest obtained other than by assignment or agreement to assign may be demonstrated by an appropriate legal memorandum to the effect that a court of competent jurisdiction (federal, state, or foreign) would by the weight of authority in that jurisdiction award title of the invention to the 37 CFR 1.47(b) applicant. The facts in support of any conclusion that a court would award title to the 37 CFR 1.47(b) applicant should be made of record by way of an affidavit or declaration of the person having firsthand knowledge of same. The legal memorandum should be prepared and signed by an attorney at law familiar with the law of the jurisdiction involved. A copy (in the English language) of a statute (if other than the United States statute) or a court decision (if other than a reported decision of a federal court or a decision reported in the United States Patents Quarterly) relied on to demonstrate a proprietary interest should be made of record.

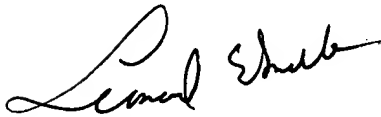
In light of the above, it is not possible to grant applicant's petition at this time.

**CONCLUSION**

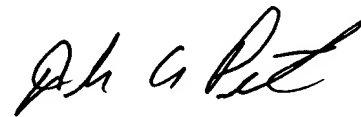
For the reasons stated above, applicant's petition under 37 CFR 1.47(b) is **DISMISSED**, without prejudice.

Any reconsideration on the merits of this petition must be filed within **TWO (2) MONTHS** from the mail date of this decision. Any reconsideration request should include a cover letter entitled "Renewed Petition Under 37 CFR 1.47(b)." No additional petition fee is required. Extensions of time may be obtained under 37 CFR 1.136(a).

Any further correspondence with respect to this matter should be directed to the Assistant Commissioner for Patents, Box PCT, Washington, D.C. 20231, with the contents of the letter directed to the attention of the PCT Legal Office.



Leonard Smith  
Legal Examiner  
PCT Legal Office



Derek A. Putonen  
Petitions Attorney  
PCT Legal Office  
Tel: (703) 305-0130  
Fax: (703) 308-6459